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STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: **Michael SPENCER**Application No./Patent No.: **09/777,987**Filed/Issue Date: **February 6, 2001**Entitled: **Method of Using a Computerized Trading System to Process Trades in Financial Instruments****ICAP Management Services Limited**

(Name of Assignee)

Limited Liability Corporation

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☐ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is ___ %

in the patent application/patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel ___, Frame ___, or for which a copy thereof is attached.

OR

- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: **ICAP plc** To: **ICAP Management Services Limited**
The document was recorded in the United States Patent and Trademark Office at Reel ___, Frame ___, or for which a copy thereof is attached.
2. From: **Garban-Intercapital plc** To: **ICAP plc**
The document was recorded in the United States Patent and Trademark Office at Reel **012136**, Frame **0900**, or for which a copy thereof is attached.
3. From: **Michael Spencer and Kieron Nolan** To: **Garban-Intercapital plc**
The document was recorded in the United States Patent and Trademark Office at Reel **011827**, Frame **0549**, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ Copies of assignments or other documents in the chain of title are attached.
[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

207-000-7125

Date

April 20, 2007

Telephone number

Global Chief Operating Officer

Title

John Mark Yallop

Signature

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

ASSIGNMENT

ICAP plc, [hereinafter "Assignor"] of London, United Kingdom, is the owner of record of U.S. Patent Application No. 09/777,987, filed February 6, 2001, entitled *Method of Using a Computerised Trading System to Process Trades in Financial Instruments* by virtue of an assignment recorded in the U.S. Patent and Trademark Office; and


WHEREAS, *ICAP Management Services Limited* [hereinafter "Assignee"], of 2 Broadgate EC2M 7UR London, United Kingdom, is desirous of acquiring Assignor's share of the right, title, and interest in and to the said invention and in and to the said Letters Patent;

NOW, THEREFOR, for good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignor does hereby sell and assign to Assignee, its successors and assigns, its share of the entire right, title and interest in and to the said Letters Patent, and all the rights, powers, liberties and immunities conferred on the owner by the grant of the resulting Patent, including rights to sue for damages and other remedies in respect of any infringement of the Patent, which may have occurred prior to the date hereof, and the right to recover for all past infringement; and all patents which may be granted therefor, and all divisions, reissues, substitutions, continuations, and extensions thereof; and Assignor hereby authorizes and requests the Commissioner of Patents and Trademarks to issue all patents for said invention, or patents resulting therefrom, insofar as its interest is concerned, to Assignee, its successors and assigns.

IN WITNESS WHEREOF, Assignor has caused this Assignment to be duly executed by its authorized representatives on the date set forth below.

Dated: April 20, 2007

ICAP plc

By:  _____

Typed Name: John Mark Yallop

Title: Global Chief Operating Officer